

12/10/01

J1131 U.S. PTO

JC675 U.S. PTO
10/006654

12/10/01

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No 9915.007.00

First Inventor or Application Identifier John M. Lancaster et al.

Title SYSTEMS AND METHODS FOR USING DERIVATIVE FINANCIAL
PRODUCTS IN CAPACITY-DRIVEN INDUSTRIES

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Commissioner for Patents
Box Patent Application
Washington, DC 20231

APPLICATION ELEMENTS				ACCOMPANYING APPLICATION PARTS	
1.	<input checked="" type="checkbox"/>	Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)		6.	<input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))
2.	<input checked="" type="checkbox"/>	Specification	Total Pages 62	7.	<input type="checkbox"/> 37 C.F.R. §3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney
3.	<input checked="" type="checkbox"/>	Drawing(s) (35 U.S.C. 113)	Total Sheets 3	8.	<input type="checkbox"/> English Translation Document (if applicable)
4.	<input checked="" type="checkbox"/>	Oath or Declaration	Total Pages 3	9.	<input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
	a.	<input checked="" type="checkbox"/> Newly executed (original or copy)		10.	<input type="checkbox"/> Preliminary Amendment
	b.	<input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation/divisional with box 15 completed)		11.	<input checked="" type="checkbox"/> White Advance Serial No. Postcard
	i.	<input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).		12.	<input type="checkbox"/> Small Entity Status <input type="checkbox"/> Statement filed in prior application. Status still proper and desired.
5.	<input type="checkbox"/>	Incorporation By Reference (usable if box 4B is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein		13.	<input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
				14.	<input checked="" type="checkbox"/> Other: Check for \$797.00

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

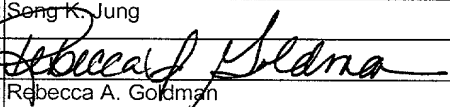
<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application no.:
Prior application information:		Examiner:	Group Art Unit:

16. Amend the specification by inserting before the first line the sentence:

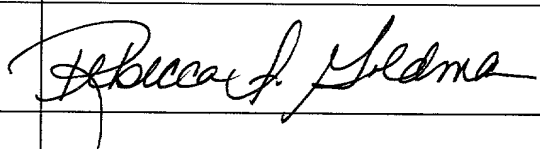
<input type="checkbox"/> This application is a	<input type="checkbox"/> Continuation	<input type="checkbox"/> Division	<input type="checkbox"/> Continuation-in-part (CIP)
of application Serial No.		Filed on	
<input checked="" type="checkbox"/> This application claims priority of provisional application Serial No.		60/254,734	Filed December 11, 2000

17. CORRESPONDENCE ADDRESS

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Signature: 	Date: December 10, 2001
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1000654-1000654

Docket No.	9915.007.00									
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE										
INVENTOR(S)	John M. Lancaster et al.									
SERIAL NO:	To Be Assigned									
FILING DATE:	December 10, 2001									
FOR:	SYSTEMS AND METHODS FOR USING DERIVATIVE FINANCIAL PRODUCTS IN CAPACITY-DRIVEN INDUSTRIES									
FEE TRANSMITTAL										
COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231										
FOR		NUMBER FILED			NUMBER EXTRA		RATE		CALCULATIONS	
TOTAL CLAIMS		63	-	20	=	43	x	\$18	=	\$774.00
INDEPENDENT CLAIMS		3	-	3	=	1	x	\$80	=	\$0.00
<input type="checkbox"/>	MULTIPLE DEPENDENT CLAIMS (If applicable)					+	\$270	=	\$0.00	
<input type="checkbox"/>	LATE FILING OF DECLARATION					+	\$130	=	\$0.00	
BASIC FEE									\$740.00	
TOTAL OF ABOVE CALCULATIONS									\$1,514.00	
<input checked="" type="checkbox"/>	REDUCTION BY 50% FOR FILING BY SMALL ENTITY									\$757.00
<input type="checkbox"/>	FILING IN NON-ENGLISH LANGUAGE					+	\$130	=	\$0.00	
<input type="checkbox"/>	RECORDATION OF ASSIGNMENT					+	\$40	=	\$40.00	
TOTAL									\$797.00	
<input type="checkbox"/>	Please charge Deposit Account No. <u>50-0911</u> in the amount of							A duplicate copy of this sheet is enclosed.		
<input checked="" type="checkbox"/>	Checks totaling		<u>\$797.00</u>		to cover the filing and surcharge fees are enclosed.					
<input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. <u>50-0911</u> . A duplicate copy of this sheet is enclosed.									
						Respectfully Submitted,				
						LONG ALDRIDGE & NORMAN LLP				
Date:	December 10, 2001									
Sixth Floor 701 Pennsylvania Ave., N.W. Washington, D.C. 20004 Tel. (202) 624-1200 Fax. (202) 624-1298						Rebecca A. Goldman				
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